

## CHAPTER 13 WATER QUALITY RESEARCH GRANT REGULATIONS

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| <b>Secs.</b> |  |
| <b>1300</b>  | <b>Purpose and Scope</b>   |
| <b>1301</b>  | <b>Preliminary Grant Proposal and Application Procedures for the Department of Consumer and Regulatory Affairs</b> |
| <b>1302</b>  | <b>Grant Application Procedures for the Department of Public Works</b>   |
| <b>1303</b>  | <b>Grant Award</b>   |
| <b>1304</b>  | <b>Administration</b>  |
| <b>1399</b>  | <b>Definitions</b>   |

### **1300 PURPOSE AND SCOPE**

- 1300.1** This chapter shall establish the procedures for issuing grants to universities and institutions pursuant to §13 of D.C. Law 5-188, the "Water Pollution Control Act of 1984."
- 1300.2** This chapter shall exclude commercial companies which operate on a profit basis. The Director may give preference to District of Columbia based universities and institutions.
- 1300.3** The Director of the Department of Consumer and Regulatory Affairs (DCRA) may issue grants to universities and institutions for research, investigations or studies in the following areas:
- (a) Water quality surveys and assessments; and
  - (b) Living aquatic resources, including fish, shellfish and aquatic vegetation.
- 1300.4** The Director of the Department of Public Works (DPW) may issue grants to universities and institutions for research, investigations or studies in the following areas:
- (a) Operation and maintenance of water and sewer systems;
  - (b) Wastewater treatment;
  - (c) Water quality improvement; and
  - (d) Construction and monitoring of public facilities designed to improve water quality.
- 1300.5** The Director of DCRA shall maintain a list of universities and institutions which have expertise in the areas identified in §1300.3.

1300.6 The Director of DPW shall maintain a list of universities and institutions which have expertise in the areas identified in §1300.4.

1300.7 The Director of DCRA or the Director of DPW may give written notice of the availability of grant funds directly to the institutions, or by publication in local papers. The notification shall include the following:

- (a) A brief description of the project or projects for which funds may be available;
- (b) The estimated total funds available;
- (c) The deadline for submission of a preliminary proposal;
- (d) A statement concerning the source of funds;
- (e) An address within the appropriate Department where detailed information may be obtained; and
- (f) The estimated time of availability of the funds.

AUTHORITY: Unless otherwise noted, the authority for this chapter is §13 of the Water Pollution Control Act of 1984, D.C. Law 5-188, D.C. Code §6-932 (1995 Repl. Vol.), and Mayor's Order No. 87-278 dated December 11, 1987.

SOURCE: Final Rulemaking published at 35 DCR 3528 (May 13, 1988).

## **1301 PRELIMINARY GRANT PROPOSAL AND APPLICATION PROCEDURES FOR THE DEPARTMENT OF CONSUMER AND REGULATORY AFFAIRS**

1301.1 Any university or institution wishing to perform the solicited work shall submit a preliminary proposal for a grant. The preliminary proposal shall include the following:

- (a) The name of the university or institution submitting the preliminary proposal;
- (b) The name and resume of the principal investigator;
- (c) The name and a description of the main components of the project; and
- (d) The estimated total funding requested.

1301.2 The Director of DCRA shall review the preliminary proposal, and make an initial selection of those to be considered for funding, and request the submission of an application.

1301.3 An application for a grant shall consist of the following:

- (a) A request for a grant for the proposed work, signed by the principal investigator and the head of the institution or his or her representative;
- (b) A complete proposal for which the grant is sought;

- (c) Proof of the institution's non-profit status, if requested by the Director of DCRA; and
- (d) The Equal Employment Opportunity (EEO) certification by the institution, if requested by the Director of DCRA.

**1301.4** The complete proposal for the grant shall include the following:

- (a) The names and resumes of all investigators to be involved in the project;
- (b) A detailed work plan;
- (c) A quality assurance plan if sampling and analysis are to be performed;
- (d) A work schedule;
- (e) Details of the involvement of subcontractors;
- (f) Detailed budget estimate including personnel, equipment, supplies, travel, contractual and indirect costs;
- (g) A payment schedule;
- (h) A signed concurrence from the university;
- (i) The name and address to which payments shall be made;
- (j) The type of technical or personnel assistance that the grantee will require from DCRA; and
- (k) The period for which the proposal is valid.

**SOURCE:** Final Rulemaking published at 35 DCR 3528, 3529 (May 13, 1988).

**1302 GRANT APPLICATION PROCEDURES FOR THE DEPARTMENT OF PUBLIC WORKS**

**1302.1** Any institution wishing to be considered for a grant shall submit a written application for each grant. The application shall include the following:

- (a) The name of the project;
- (b) The name of the institution;
- (c) A detailed work plan or proposal with a schedule for completion of the work;
- (d) The names and resumes of the principal and assistant investigators or researchers, listing the qualifying education and experience of each;



- (e) The type of technical or personnel assistance that the grantee will require from DPW;
- (f) The name and qualifying education and experience of any subcontractors to be used;
- (g) A detailed budget estimate of all direct and indirect costs associated with the grant; and
- (h) A proposed payment schedule.

SOURCE: Final Rulemaking published at 35 DCR 3528, 3530 (May 13, 1988).

### 1303 GRANT AWARD

1303.1 The procedure for awarding grants shall be applicable to both DCRA and DPW. The Director of the appropriate Department shall review the applications and make a determination of those to be funded based upon the following criteria:

- (a) Availability of funds;
- (b) Completeness of the application and responsiveness to the grant notice;
- (c) Priority of the work;
- (d) Reasonableness of the costs;
- (e) Expertise to perform the work;
- (f) Whether the university or institution is District based;
- (g) Submission of all required documents in a timely manner;
- (h) Any federal requirements associated with the funds; and
- (i) Other factors, as identified in writing by the Director of the appropriate Department prior to grant award.

1303.2 All grants shall be made pursuant to a written agreement. The Director shall send a grant agreement to the designated representative of the institution. The agreement shall contain the following:

- (a) The purpose of the project;
- (b) The amount of the grant award;
- (c) The term of the project and any conditions, statutes, rules or regulations with which the grant recipient must comply;

- (d) The scope of work for the grant, a description of all deliverables required under the grant, and a schedule specifying when all deliverables are to be provided to the Department;
- (e) The name of the grant administrator for the appropriate Department and the name of the agent for the grant recipient;
- (f) The names of all personnel assigned to perform the work required by the grant agreement, including the names of the subcontractor's employees;
- (g) A payment schedule; and
- (h) The address to which all written communications from the Department to the grant recipient may be sent, including, but not limited to, the periodic payments due under the grant.

**1303.3** The Director may consider unsolicited proposals, but may give preference to solicited proposals for grant award.

**SOURCE:** Final Rulemaking published at 35 DCR 3528, 3531 (May 13, 1988).

**1304 ADMINISTRATION**

**1304.1** Payment of more than eighty percent (80%) of the grant amount shall not be approved until all deliverables required under the grant are received and approved by the Director of the appropriate Department.

**1304.2** The Director of either Department may terminate a grant or any of the following reasons:

- (a) Inability of the grant recipient to perform the work as stipulated in the scope of work, in a manner acceptable to the Director;
- (b) Failure to provide or meet quality assurance in the laboratory, if laboratory services are required for the project;
- (c) Failure to comply with the project schedule;
- (d) Failure to provide interim or final deliverables;
- (e) Failure to obtain approval of the Director prior to changing the principal investigator;
- (f) Request by the university or institution to rescind the grant; or
- (g) Any other reasons specified in the grant agreement.

**1304.3** The Director of the appropriate Department shall inform the grantee of the grant termination at least thirty (30) days prior to the date of termination.

- 1304.4 The university or institution shall inform the appropriate Director of the decision to terminate the grant at least thirty (30) days prior to the date of termination.
- 1304.5 The Director of the appropriate Department may authorize the grant recipient to publish data obtained pursuant to the grant in accordance with the interests of the District government.
- 1304.6 The Director of either Department may inspect any facility used to carry out the requirements of the grant.
- 1304.7 The grant recipient shall make all records available to the appropriate Director for audit by the Department, the District and federal officials as deemed necessary.
- 1304.8 All records shall be retained for a period of at least three (3) years following final close-out of the grant, or for the period specified in the grant agreement, whichever is longer.
- 1304.9 The Directors of DCRA and DPW shall retain the right to approve or reject any work performed by a subcontractor of the grantee for the appropriate grant award.

SOURCE: Final Rulemaking published at 35 DCR 3528, 3532 (May 13, 1988).

## 1399 DEFINITIONS

- 1399.1 When used in this chapter, the following words and phrases shall have the meanings ascribed:

**Deliverables** - any products, services and other items specified at the time of the grant award.

**Department** - the Department of Consumer and Regulatory Affairs and the Department of Public Works, unless otherwise stated.

**Director** - the Director of the Department of Consumer and Regulatory Affairs and the Director of the Department of Public Works, unless otherwise stated.

**Grant** - an award of funds by the Department to a university or institution for deliverables, as defined.

**Grant Administrator** - the employee designated by the Director to supervise the grant.

**Grantee, Grant Recipient or Recipient** - the university, institution, or individual representing the university or institution who receives the grant.

**Institution** - any non-profit entity, intergovernmental organization, or university.

**University** - any accredited, post secondary educational institution authorized to award advanced degree.

SOURCE: Final Rulemaking published at 35 DCR 3528, 3533 (May 13, 1988).